

FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.
BSTOR.038AAPPLICATION NO.
10/060,957INFORMATION DISCLOSURE STATEMENT
BY APPLICANT

(USE SEVERAL SHEETS IF NECESSARY)

APPLICANT
Thomas R. Ulrich, et al.FILING DATE
January 29, 2002GROUP
2651

RECEIVED

DEC 19 2002

Technology Center 2600

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPROPRIATE)
PMU	4,914,656	04/03/90	Dunphy, Jr. et al.	714	710	RECEIVED
PMU	5,257,362	10/26/93	Menon	711	114	DEC 19 2002
PMU	5,301,297	04/05/94	Menon et al.	711	114	Technology Center 2100
PMU	5,375,128	12/20/94	Menon et al.	714	770	
PMU	5,398,253	03/14/95	Gordon et al.	714	766	
PMU	5,416,915	05/16/95	Mattson et al.	711	114	
PMU	5,442,752	08/15/95	Styczinski	711	4	
PMU	5,459,853	10/17/95	Best et al.	711	114	
PMU	5,517,632	05/14/96	Matsumoto et al.	711	114	
PMU	5,537,534	07/16/96	Voigt et al.	714	6	
PMU	5,542,065	07/30/96	Burkes et al.	711	114	
PMU	5,586,291	12/17/96	Lasker et al.	711	113	
PMU	5,657,468	08/12/97	Stallmo et al.	711	114	
PMU	5,754,756	05/19/98	Watanabe et al.	714	6	
PMU	5,845,319	12/01/98	Yorimitsu	711	114	
PMU	5,862,313	01/19/99	Johnson et al.	714	6	
PMU	5,875,459	02/23/99	Taoda	711	114	
PMU	5,901,280	05/04/99	Mizuno et al.	714	6	
PMU	5,975,738	11/02/99	DeKoning et al.	700	79	
PMU	5,617,425	04/01/97	Anderson	714	710	
PMU	6,000,020	12/07/99	Chin et al.	711	162	
PMU	6,055,228	04/25/00	DeKoning et al.	370	258	
PMU	6,065,096	05/16/00	Day et al.	711	114	
PMU	6,219,693	04/17/01	Napolitano et al.	703	203	
PMU	6,219,751	04/17/01	Hodges	711	114	
PMU	US 2001/0002480	05/31/01	DeKoning et al.			

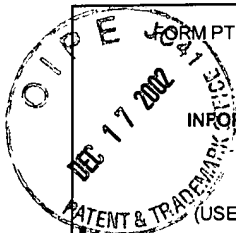
EXAMINER

Sam Vital

DATE CONSIDERED

9/6/04

*EXAMINER: INITIAL IF CITATION CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP 609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED, INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.



FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.
BSTOR.038AAPPLICATION NO.
10/060,957INFORMATION DISCLOSURE STATEMENT
BY APPLICANT

(USE SEVERAL SHEETS IF NECESSARY)

APPLICANT
Thomas R. Ulrich, et al.FILING DATE
January 29, 2002GROUP
2651

RECEIVED

DEC 19 2002

Technology Center 2600

FOREIGN PATENT DOCUMENTS

EXAMINER	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
INITIAL						YES	NO

EXAMINER
INITIAL

OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)

RECEIVED

DEC 19 2002

Technology Center 2100

H:\DOCS\KJLKJL-1521.DOC
121002

EXAMINER

DATE CONSIDERED

*EXAMINER: INITIAL IF CITATION CONSIDERED. WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP 609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED, INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.

FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.
SNAPA.038AAPPLICATION NO.
10/060,957INFORMATION DISCLOSURE STATEMENT
BY APPLICANT

(USE SEVERAL SHEETS IF NECESSARY)

APPLICANT
Thomas R. Ulrich, et al.FILING DATE
January 29, 2002GROUP
2651

U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPROPRIATE)
PMV	1	5,355,453	10/11/94	Row et al.	709	219	
PMV	2	5,388,231	02/07/95	Starr	710	105	
PMV	3	5,485,579	01/16/96	Hitz et al.	709	221	
PMV	4	5,513,314	04/30/96	Kandasamy et al.	710	6	
PMV	5	5,701,516	12/23/97	Cheng et al.	710	22	
PMV	6	5,802,366	09/01/98	Row et al.	709	250	
PMV	7	5,819,292	10/06/98	Hitz et al.	707	203	
PMV	8	5,862,312	01/19/99	Mann et al.	714	6	
PMV	9	5,941,969	08/24/99	Ram et al.	710	128	
PMV	10	5,948,110	09/07/99	Hitz et al.	714	6	
PMV	11	5,950,225	09/07/99	Kleiman	711	111	
PMV	12	5,963,962	10/05/99	Hitz et al.	707	202	
PMV	13	5,996,089	11/30/99	Mann et al.	714	6	
PMV	14	6,029,168	02/22/00	Frey	707	10	
PMV	15	6,038,570	03/14/00	Hitz et al.	707	204	
PMV	16	6,065,037	05/16/00	Hitz et al.	709	200	
PMV	17	6,081,883	06/27/00	Popelka et al.	712	28	
PMV	18	6,119,244	09/12/00	Schoenthal et al.	714	4	
PMV	19	6,148,414	11/14/00	Brown et al.	714	9	

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION
							YES NO

EXAMINER INITIAL		OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)
PMV	20	Microsoft Knowledge Base Article -222189; Description of Disk Groups in Windows Disk Management, pgs. 1-5.
	21	The Network Appliance Enterprise Storage Architecture: System and Data Availability TR 3065 by Michael J. Marchi & Andy Watson, Network Appliance, Inc., pgs. 1-10.

EXAMINER	<i>burna Detch</i>	DATE CONSIDERED	<i>9/6/04</i>
*EXAMINER: INITIAL IF CITATION CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP 609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED, INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.			

FORM PTO-1449	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. SNAPA.038A	APPLICATION NO. 10/060,957
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (USE SEVERAL SHEETS IF NECESSARY)		APPLICANT Thomas R. Ulrich, et al.	RECEIVED MAR 05 2003 Technology Center 2600
		FILING DATE January 29, 2002	GROUP 2651

EXAMINER INITIAL	OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)
pmv	22 SnapMirror and SnapRestore: Advances in Snapshot Technology by Keith Brown, Jeff Katcher, Rex Walters & Andy Watson, Network Appliance, Inc., pgs. 1-15.
pmv	23 SecureShare™: Guaranteed Multiprotocol File Locking by Keith Brown & Andrea Borr, Network Appliance, Inc., pgs. 1-17.
pmv	24 File System Security: Secure Network Data Sharing for NT and UNIX by Bridget Allison, Robert Hawley, Andrea Borr, Mark Muhlestein & David Hitz, Network Appliance, Inc., pgs. 1-12.
pmv	25 Data Protection Strategies for Network Appliance Filers by Jay Desai, Grant Melvin, David Yu, Mike Federwisch, Network Appliance, Inc., pgs. 1-32.
pmv	26 Multiple Volumes and Multiple RAID Groups on NetApp Filers by Karl L. Swartz, Network Appliance, Inc., pgs. 1-9.
pmv	27 Windows® 2000 and NetApp® Filers: An Overview TR 3113 by John Phillips, Network Appliance, Inc., pgs. 1-6.
pmv	28 Integrating NetApp® Filers with the Microsoft® Active Directory TR 3124 by John Phillips, Network Appliance, Inc., pgs. 1-10.
pmv	29 CIFS Authentication and Security TR3020 by Bridget Allison, Network Appliance, Inc., pgs. 1-7.
pmv	30 High Availability Storage Appliance TR 3127 by Jim Helfrich, Network Appliance Inc., pgs. 1-8.
pmv	31 SnapMirror and SnapRestore: Advances in Snapshot Technology TR 3043 by Keith Brown, Jeff Katcher, Rex Walters & Andy Watson, Network Appliance, Inc., pgs. 1-14.
pmv	32 Merging NT and UNIX Filesystem Permissions TR 1005 by Bridget Allison, Robert Hawley, Andrea Borr, Mark Muhlestein & David Hitz, Network Appliance, Inc., pgs. 1-13.
pmv	33 File System Design for an NFS File Server Appliance TR3002 by Dave Hitz, James Lau, & Michael Malcolm, Network Appliance, Inc., pgs. 1-10.
pmv	34 SecureShare™ Safe UNIX/Windows File Sharing through Multiprotocol Locking by Andrea Borr, pgs. 1-16.
pmv	35 Soft Updates: A Solution to the Metadata Update Problem in File Systems by Gregory R. Ganger, Marshall Kirk McKusick, Craig A. N. Soules and Yale N. Patt, pgs 1-27.
pmv	36 Soft Updates: A Technique for Eliminating Most Synchronous Writes in the Fast Filesystem by Marshall Kirk McKusick and Gregory R. Ganger, pgs. 1-18.
pmv	37 Journaling Versus Soft Updates: Asynchronous Meta-Data Protection In File Systems by Margo I. Seltzer, Gregory R. Ganger, M. Kirk McKusick, Keith A. Smith, Craig A. N. Soules, and Christopher A. Stein, pgs. 1-15.
pmv	38 Exploring SMB by Andrew Tridgell, May 8, 2000, pgs. 1-6.
pmv	39 Transactions and Recovery File Systems & Databases; Anupam Bhide, CalSoft Private Limited, 22 Gaurishankar, Shivaji Housing Society, Off Senapati Bapat Road PUNE, pgs. 1-24.
pmv	40 Storage Resource Management Requirements for Disk Storage by John Tyrrell, Mich Dutch and Steve Terwilliger, pgs. 1-26.
pmv	41 IBM StorageTank™, A Distributed Storage System by D.A. Pease, R.M. Rees, W.C. Hineman, D.L. Plantenberg, R.A. Becker-Szendy, R. Ananthanarayanan, M. Sivan-Zimet, C.J. Sullivan: IBM Almaden Research Center; R.C. Burns: Johns Hopkins University; D.D.E. Long: University of California, Santa Cruz, January 23, 2002, pgs. 1-7.
pmv	42 Storage Tank, Randal Burns; Storage Systems and Servers, IBM Almaden Research Center by Robert Rees, David Pease, Wayne Hineman, Michael Penner and Darrell Long, pgs. 1-44.
pmv	43 Storage Tank, IBM Almaden Research Center by Bob Rees, David Pease, Randal Burns and Jai Menon, pgs. 1-7.

EXAMINER	<i>Burns Vidal</i>	DATE CONSIDERED	<i>9/6/04</i>
*EXAMINER: INITIAL IF CITATION CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP 609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED, INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.			

FORM PTO-1449	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. SNAPA.038A	APPLICATION NO. 10/060,957
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (USE SEVERAL SHEETS IF NECESSARY)		APPLICANT Thomas R. Ulrich, et al.	
		FILING DATE January 29, 2002	GROUP 2651

RECEIVED

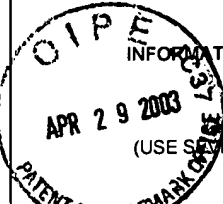
MAR 05 2003

Technology Center 2600

EXAMINER INITIAL	OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)	
PMV	44	Semi-Preemptible Locks for a Distributed File System by Randal C. Burns, Robert M. Rees and Darrell D. E. Long, pgs. 1-8.
PMV	45	Scalable Session Locking for a Distributed File System by Randal C. Burns, Robert M. Rees, Larry J. Stockmeyer and Darrell D. E. Long, pgs. 1-25.
PMV	46	Consistency and Locking for Distributing Updates to Web Servers Using a File System by Randal C. Burns, Robert M. Rees and Darrell D. E. Long, pgs. 1-7.
PMV	47	Efficiently Distributing Data in a Web Server Farm by Randal C. Burns, Robert M. Rees and Darrell D. E. Long, pgs. 1-11.
PMV	48	An Analytical Study of Opportunistic Lease Renewal by Randal C. Burns, Robert M. Rees and Darrell D. E. Long, pgs. 1-8.
PMV	49	Safe Caching in a Distributed File System for Network Attached Storage by Randal C. Burns, Robert M. Rees and Darrell D. E. Long, pgs. 1-8.
PMV	50	A Bit-Parallel Search Algorithm for Allocating Free Space by Randal Burns and Wayne Hineman, pgs. 1-9.
PMV	51	Data Management in a Distributed File System for Storage Area Networks by Randal Chilton Burns, March 2000, pgs. 1-161.
PMV	52	Common Internet File System (CIFS) Version: CIFS-Spec 0.9, Draft SNIA CIFS Work Group Work-in-Progress, Revision Date: 3/26/2001, pgs. 1-126.
PMV	53	Serverless Network File Systems, Copyright © 1995 by Michael Donald Dahlin, pgs. 1-177.
PMV	54	Solaris Internals, Core Kernel Components; Sun Microsystems Press, A Prentice Hall Title, by Jim Mauro and Richard McDougall, pgs. 1-116.
PMV	55	Unix Internals, The New Frontiers by Uresh Vahalia, EMC Corporation, Hopkinton, MA, Prentice Hall, Upper Saddle River, New Jersey 07458, pgs. 1-151.
PMV	56	NFS Illustrated, An Imprint of Addison Wesley Longman, Inc., by Brent Callaghan, pgs. 1-120.

H:\DOCS\KJL\KJL-1694.DOC
021103

EXAMINER <i>burns vtel</i>	DATE CONSIDERED <i>9/6/04</i>
*EXAMINER: INITIAL IF CITATION CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP 609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED, INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.	

FORM PTO-1449	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. SNAPA.038A	APPLICATION NO. 10/060,957
 <p>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</p> <p>(USE SEVERAL SHEETS IF NECESSARY)</p>		APPLICANT Thomas R. Ulrich et al.	
		FILING DATE January 29, 2002	GROUP 2651

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE (IF APPROPRIATE)
PMV	4,837,680	06/06/89	Crockett et al.	710	104	
PMV	5,566,331	10/15/96	Irwin, Jr. et al.	707	10	
PMV	5,907,672	05/25/99	Matze et al.	714	8	RECEIVED
PMV	5,931,947	08/03/99	Burns et al.	713	201	MAY 01 2003
PMV	5,974,503	10/26/99	Venkatesh et al.	711	114	
						Technology Center 2600

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO

EXAMINER INITIAL	OTHER DOCUMENTS (INCLUDING AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.)

H:\DOCS\KJL\KJL-1889.DOC/ap
042303

EXAMINER <i>Sam J. Lee</i>	DATE CONSIDERED <i>9/6/04</i>
<p>*EXAMINER: INITIAL IF CITATION CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP 609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED, INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.</p>	